DETAILED BUDGET

Personnel:

The State of Utah requests 2 FTEs be paid for from this NCHIP grant. This will allow us to continue funding researchers to find dispositions for priority crimes under the Brady Bill as amended by the Crime Bill.   Specifically, this will pay for 4176 hours of research time at a cost of $10.11/hour. These employees are considered full-time with benefits at step 31 on the State's pay scale.

Cost per hour $10.11 @ 4176 hours	$42,220
Total Personnel	**$42,220**

Fringe Benefits:

The State of Utah pays for the retirement, insurance and vacation benefits of each employee. This represents a fixed cost of $5,896 for the insurance benefits and 24.46 percent for the retirement and vacation benefits.

Insurance cost 2 @ $5,896	$11,792
Retirement & vacation 24.46% @ $42,220	$10,328
Total Fringe Benefit	**$22,120**

Travel/Training:

The travel funds will be spent to provide statewide training on the criminal justice process, to send researchers throughout the state to the various court sites for disposition research and to send two programmers from The Utah Department of Public Safety (DPS) to out of state training on computer applications necessary for updating the criminal history system.

Mileage, statewide training 1,290 miles @ $.31/mile	$400
Lodging, statewide training 3 trainers/5 nights @ $50/night	$750
Per diem @ $26 day	$1,200
Conference/training facilities 11 sites @ $125/site	$1,375
Mileage, statewide research 7,000 miles @ $.31/mile	$2,175
Lodging, researchers, 2 persons/30 nights @ $50/night	$3,000
Per diem @ $26 day	$2,600
Out of state training, airfare 2 persons, 2 trips @ $500/trip	$2,000
Out of state lodging, 2 persons 14 nights each @ $75/night	$2,100
Per diem 2 persons 14 days @ $34 day	$1,000
Training class 2 person 2 classes each @ $1225/class	$4,900
Total Travel/Training	**$21,500**

Equipment:

NEC LS21 Livescan and printer 4@$55,000	$220,000
Transport XKE laptop computer 2 @ $5,499	$10,998
Total Equipment	**$230,998**

Supplies:

Communications software	$7,000
Printed material for statewide training	$1,900

Total Supplies	**$8,900**

Contractual:

Programming consultant Courts 200hrs @ $75/hr	$15,000
Programming consultant IBM 893hrs @ $56/hr	$50,008
Programming consultant AS400 416hrs @ $60/hr	$24,960
State mainframe data processing charges	$23,000
Informix design consultant 100hrs @$115/hr	$11,500
Informix programming consultant 800hrs @$91/hr	$72,800
Data conversion consultant 291hrs @$54/hr	$15,700
Total Contractual	**$212,968**

TOTAL REQUEST: $538,706

Part I. Background

Geographically, Utah is a large state but as of a 1996 estimate the population is only 2,055,000. According to the U.S. Census, Utah is the tenth fastest-growing state in the country. Seventy-seven percent of Utahns live in four counties (see map on previous page). This group of four contiguous counties, known as the Wasatch Front, consists of Salt Lake County (population 860,000), Utah County (population 318,000), Davis County (population 225,000), and Weber County (population 180,000). Efforts at improving the criminal history records system affect all 29 of Utah's counties, however, concentrated work in the counties along the Wasatch Front affects the vast majority of the system most quickly.

The Governor has designated the Utah Commission on Criminal and Juvenile Justice (CCJJ) as the applicant agency for federal criminal justice programs. Organizationally, CCJJ staff is part of the Governor's Office and is the coordinating agency for criminal justice matters. The Commission itself is a twenty member board representing the major organizations in Utah's criminal justice system, consisting of:

Commissioner of Public Safety	*Chairperson From:*
Director of Division of Youth Corrections	Utah Board of Juvenile Justice
Utah Supreme Court Chief Justice	Substance Abuse & Anti-Violence Council
Utah Court Administrator	*Representatives From:*
Utah Attorney General	Utah House of Representatives
Director Department of Corrections	Utah Senate
Citizen Representative	Public Education
Juvenile Court Judge	The Sheriffs' Association
U.S. Attorney for Utah	Chiefs of Police Association
Chairperson From:	Statewide Association of Prosecutors
Utah Board of Pardons and Parole	Utah State Bar
Utah Sentencing Commission	

Some of the responsibilities of the staff at CCJJ are to manage grant programs and coordinate efforts to improve criminal justice information systems such as criminal history. The functional area within CCJJ that is primarily involved with the NCHIP project is the Data and Research Section (which includes the Statistical Analysis Center- SAC).   Specifically, there are three CCJJ staff members involved in managing and implementing the major provisions of this grant program. Jennifer Hemenway is the Director of Data and Research and has overall responsibility for coordinating Utah's Criminal History Record Improvement Plan. Greg Hartvigsen is an Information Analyst and is responsible for the specific grant management and assisting Ms. Hemenway in coordinating the overall plan. Additionally, Mike Haddon is an Information Analyst and will be working with various programs under this project to coordinate research efforts. The Programs and Budgets section also assists with fiscal management of grant funds. The Department of Justice, Bureau of Justice Statistics made available for record improvement activities $350,000 between December 1990 and December 1993 through the Criminal History Record Improvement (CHRI) program, $642,653 from the 1995 NCHIP grant, $50,000 from the

Advanced State Award Program (ASAP) and $338,000 from the 1996 NCHIP. Utah has also dedicated $1,863,272 from FYs 1992 through 1997, or over **8 percent** of the Byrne grants for those years toward our criminal history record improvement efforts. As of June 30, 1997 not all of the monies have been expended, but all of the 5% set aside funds through fiscal year 1995 from the Byrne grant have been obligated to individual projects. Additionally, $249,500 from FYs 1990 and 1991 of the Byrne grant and extensive resources from numerous state and local agencies have been or are being used to improve the quality of this information system and the data maintained in the criminal history repository.

The **CHRI** grant program was used to fund the following three projects:

Computerized Criminal History Data Transfer ($194,566). The Utah Department of Public Safety, Bureau of Criminal Identification (BCI) is responsible for maintaining the criminal history repository. This project involved a complete rewrite of the criminal history file and assisting BCI in improving their interfaces between agencies providing criminal history related information. Additionally, an updated communications system was put in place and personnel were made available to support the critical transition time when the old and new systems were running in parallel.

Criminal Justice Data Integration ($80,000). The Salt Lake County Attorneys Office used this grant to make improvements to the Sheriff's Jail Executive Management System (JEMS) and their own Attorney Information Management System (AIMS). The major portions of these improvements consisted of linking the two systems and improving the transfer of information between them. Salt Lake County has a population of nearly 900,000, which is over 40% of Utah's entire population. Therefore, this project had a major effect on Utah's criminal justice information system.

Court Data Quality Improvement ($75,434). The Administrative Office of the Courts (AOC) received a grant to improve their ability to receive data electronically from prosecutors and to more accurately and frequently submit electronic data to BCI for matching dispositions with arrest data. These two objectives were part of a broader project at the courts to rewrite the entire case management system within the courts.

The **Byrne 5% set aside** program has been used to fund the following programs:

Criminal History Improvement ($207,464 - FY92; $171,867 - FY93) DPS used these funds to conduct statewide training of law enforcement, prosecutors and court personnel in the proper use of the new fingerprint cards containing the Offense Tracking Number (OTN). Additionally, researchers were hired to research missing dispositions in the repository. Improvements are being made to the software and hardware used to maintain the criminal history database and other relate criminal justice databases. As a result of these upgrades, DPS will be able to provide faster and cheaper response to local agencies with higher quality information.

Record-Keeping Improvements in Utah Courts ($210,883 - FY92) The AOC received this

grant to assist in their efforts to: upgrade their information system to an open systems hardware and operating system; rewrite the case management database software; begin receiving electronically filed documents; open communications paths to criminal justice agencies; and train judges and court clerks in the importance and use of the criminal history records system. This effort was made in conjunction with the AOC's CHRI grant.

Criminal History Upgrade Training ($3,428 - FY92) The Utah State Attorney General's Office conducted statewide training through the Prosecution Council to local prosecutors and their staffs in the criminal history process and specifically the prosecutors' role in the flow of information.

Live Scan Enhancements ($19,361 - FY92) BCI used this funding to purchase a live scan printer to tie directly to the Salt Lake County Jail's live scan system. This enabled BCI to receive prints in minutes rather than days, with a much higher percentage of acceptable quality prints.

Brady Handgun Violence Prevention Act ($34,466- FY93) BCI was able to initiate Utah's Instant Check System the day the Brady Bill went into effect. This grant assisted in the hiring of four people to perform the checks and one compliance office to ensure the firearms dealers are in compliance to the mandates of the law.

Criminal History Improvement Training ($7,525 - FY93) DPS utilized these funds to provide training statewide to law enforcement, prosecutors and court personnel on all aspects of the flow of information in the criminal history process. The training was presented by the AOC, BCI, and CCJJ. This provided the participants with not only information, but a chance to interact with the other involved agencies.

Electronic Pre-Sentence Investigation Report Project ($50,000 - FY93) The Utah Department of Corrections (DOC) is in the process of automating their Pre-Sentence Investigation reports that provide information to the courts for the sentencing offenders. This grant assisted DOC in this project to improve the quality of criminal history records and speed accessibility to the data maintained by the criminal justice community.

Electronic Transfer of Criminal History ($68,835 - FY94) As part of the County Automation Plan, Weber County has automated and integrated the data flow of criminal justice information between their County Jail and County Prosecutor's Office as well as with the Courts and BCI. This grant helped fund the project and provide live scan equipment to the county.

Criminal Justice Information Systems Improvements ($68,416 - FY94; $228,500 - FY95) The Department of Public Safety is upgrading their ability to receive criminal justice information from state and local agencies. This includes improvements to their database, their ability to transmit data to relevant Federal agencies and making connections and training to other state and local agencies.

Live Scan Enhancements ($25,917 - FY94) BCI used these funds to purchase an upgraded live scan printer to connect with multiple county jails' live scan systems. Additionally, store and forward technology was purchased to position Utah for future enhancements to criminal

identification technology and procedures.

Information Transmission System ($15,000 - FY94) The West Jordan City Department of Public Safety has established a system of using mobile computers in patrol cars to update and send criminal justice information directly to the City and State's information management systems. Using Cellular Digital Packet Data (CDPD) they can also access State and Federal criminal justice databases.

Corrections Records Improvement Project ($131,000 - FY95) The Utah Department of Corrections (DOC) is in the process of automating and making available to criminal justice agencies in an electronic format data from their new information system. This grant will assist DOC with new hardware for this project.

Prison Admission Data for Criminal History ($63,800 - FY97) The Utah Department of Corrections is as part of the process of updating their information system is developing an automated link of prison admission and custody data with the criminal history system. This is an area that the latest audit has identified as needing improvement. These funds will be used to program those changes and updates into the information system.

State funds have been or will be used on the following projects:

Rewrite of the Computerized Criminal History File ($200,000) DPS completely rewrote the criminal history file to improve the ability of making updates and adding a suspense file component for records that do not match immediately.

Court's Automation Upgrade ($3,200,000) The AOC has used extensive resources in updating and rewriting their information system. Many aspects of this new system affect the quality and completeness of the Criminal History File.

Felony Disposition Research ($72,000) The Utah Sentencing Commission funded the cost of a full-time researcher for DPS to use in matching existing felony arrest records with dispositions.

Corrections Automation Upgrade ($1,527,000) Department of Corrections, with support from the Utah Sentencing Commission is developing an offender obligation system, part of which is an automated pre-sentence investigation report system for use in sentencing offenders. In preparing this report DOC is able to find many dispositions that are not recorded in the criminal history file, and are thus able to send the data to BCI for updating those records.

Fingerprint Technology Enhancements ($59,000) CCJJ and BCI used these funds to upgrade the AFIS capabilities at BCI.

Explore Technologies for a Dedicated Criminal Justice Switch ($50,000) The Utah Sentencing Commission purchased a Hewlett Packard system with software that is housed at DPS. It has been used to explore the feasibility of using a dedicated criminal justice switch.

Digital Signature   ($125,000) The Utah Department of Commerce, the AOC and CCJJ developed the first Digital Signature law of its kind in the country and funded the

implementation costs. This law will assist in the electronic filing of court documents and therefore, the electronic flow of data to the Criminal History Repository.

Data Quality Audits ($50,000) CCJJ contracted and paid for the State Auditor to perform audits of the Criminal History File for 1991 through 1994. In 1995, CCJJ, the AOC and BCI conducted an audit and in 1996 CCJJ hired a criminal history researcher intern with NCHIP funds to assist in gathering and analyzing of audit information as we continue to ensure that annual audits are completed.

Work continues on improving the quality and completeness of the criminal history file. Members of the Criminal Justice Records Improvement Task Force determined that through real improvements in the collection methodology, Utah could achieve high sustainable reporting rates for dispositions. This effort has concentrated on new software development and in better education of criminal justice personnel.   As a result Utah has seen an improvement in the reporting of dispositions, and the accuracy of arrest data.

Outlined below are program activities accomplished between January 1, 1992 - June 30, 1997:
- We have successfully changed the flow of OTN forms in all 29 counties to include prosecutors in the criminal history reporting process.
- The Department of Public Safety, Division of Management Information Services and the Bureau of Criminal Identification have rewritten the Criminal History File software incorporating suspense file attributes that facilitate making corrections and updates to information before it is written to the file.
- The Salt Lake County Jail and the Salt Lake County Prosecutor's Office share a common index to aid in the transferal of Offense Tracking Numbers from the jail to the prosecutor's office.
- Six regional training sessions were conducted by the Utah Prosecution Council to train prosecutors and their staff in their responsibilities in reporting declinations and providing OTN to the courts.

- All 29 county jail sites have been trained in proper fingerprint techniques and in the proper handling of the 10-print OTN cards.
- Salt Lake, Weber, Utah and Sevier Counties have installed livescan fingerprint devices to provide better quality fingerprints to the repository and speed the identification of suspects.
- The Bureau of Criminal Identification has "on-line" access to Courts, Corrections, and the Salt Lake County Jail to improve the ability to research missing dispositions.
- Courts has developed a prototype Offense Table to aid in the systematic identification and classification of criminal offenses within the state.
- Courts has improved the ability of the old automated system to track Offense Tracking Numbers in Salt Lake, Weber and Utah Counties.
- Salt Lake County electronically reports declinations to the repository.
- Courts have published standards for electronically filing documents from the county prosecutor's offices to the courts.
- Courts has successfully updated their technology to support a new case management

system.

- An extract of disposition from the Department of Correction's database was created and used to update missing data within the repository.
- The Department of Public Safety has hired three full-time researchers and have successfully researched and matched thousands of dispositions to arrest data.
- The software development is complete to allow electronic filing from the Salt Lake County Prosecutor's Office to the Courts.
- We developed and presented several regional training programs to prosecutors, law enforcement, court clerks and judges on the OTN process.
- A reference manual on the OTN process was developed and distributed at the county training to the participants involved.
- West Valley City Court has implemented a pilot project that provides better OTN data through the prosecution and court process.
- New court clerks receive criminal history training as part of their initial orientation and training program and criminal history performance goals are integrated into the clerks' performance plans.
- Procedures have been established to report Plea in Abeyance and Diversionary Agreements to BCI.
- Coding standards for multiple disposition cases including Pleas in Abeyance, Diversionary Agreements and verdicts under appeal, have been developed by the Courts, Public Safety and CCJJ.
- Courts has developed an audit program within their Information Services Division to identify areas that can be modified to improve the quality of information.
- Department of Public Safety is in full compliance with the instantaneous background check for handgun purchases according to the provisions of the Brady Bill.
- Two new store and forward fingerprint printers were installed at Department of Public Safety to speed entry of prints into AFIS

- Department of Corrections is in the process of developing a new automated Pre-Sentencing Investigation System.
- Salt Lake County Sheriff's Office began electronic arrest reporting.
- Justice Courts throughout the state have begun to connect to the State's Criminal Justice Databases to extract criminal history, warrants and protective orders, motor vehicle and drivers license information to assist local jurisdictions in sentencing offenders.
- The Office of the Courts in conjunction with the Department of Public Safety developed and implemented a Protective Orders Database that is accessed each time a search for warrant information or handgun background check is initiated.
- West Jordan implemented a pilot project that is being used as a pattern throughout Salt Lake County and with State law enforcement agencies to connect lap top computers to local and state criminal justice databases for both retrieving and updating information.
- Department of Public Safety has started a project of moving criminal justice databases from the State mainframe to a DPS system for improved quality, timeliness and cost of accessing the information.
- Department of Public Safety in conjunction with the Western Identification System (WIN) has developed a plan that will automate and integrate the fingerprinting systems throughout Utah during 1998. This will allow the counties with the major proportion of

Utah's population (90%) to contribute arrest data electronically from the county jails to the state repository.

- The Utah Prosecution Council is implementing a statewide prosecutor management system with the assistance of Byrne Grant funds. This system will standardize the cases management of criminal systems and better allow criminal history data to flow from the jail to the prosecutor and on to the repository and the courts.
- The Office of the Courts is developing a data warehouse that will make their criminal history data available in a more useable and accessible format to the Department of Public Safety and the Department of Corrections. This allows for the more efficient transfer of data between these agencies and an improved ability to research missing dispositions from the criminal history file.

Although the majority of time and money has been allocated to process improvements, Utah has also utilized some resources to research missing felony dispositions. A close examination of this data has resulted in improved disposition reporting rates for specified crimes during 1989 to 1995, and as an added benefit, has provided insight into new system improvements. The culmination of Utah's efforts have resulted in increases to these disposition reporting rates as summarized in the following table dated March 20, 1997:

Year	Disposition Reporting Rates			
	Felony	**Likely Felony**	**Child Abuse**	**Domestic Violence**
1995	89.20%	89.99%	55.86%	53.73%
1994	93.60%	91.38%	93.48%	91.15%
1993	92.82%	90.77%	91.46%	90.74%
1992	93.33%	92.20%	91.28%	92.79%
1991	93.87%	92.21%	95.43%	92.34%
1990	93.33%	N/A	N/A	N/A
1989	91.29%	N/A	N/A	N/A
1988	69.60%	N/A	N/A	N/A
Before 1988	48.62%	N/A	N/A	N/A

Part II. Identification of Needs

According to Utah Code Ann. §63-25-4 (1992) the Commission on Criminal and Juvenile Justice is responsible to ensure the criminal history file is audited for data quality and accuracy. CCJJ contracted with the Utah State Auditor to perform the first data quality audit in 1990. In general the first audit found **less than 50 percent** of the arrests had dispositions.

The second audit was more detailed than the first. The focus of this audit was the criminal history collection *process.* The auditor began by randomly selecting 50 criminal court dispositions. The auditors then traced, or followed the cases back through the criminal history system. An examination of the audit revealed the following characteristics of the collection process:

- 5 of the 50 cases examined were the result of a criminal summons not arrest.
- Of the 50 felony cases examined **27** had no OTN on the court's automated case tracking system. When the OTN was missing, no matching dispositions were found in the repository, a zero percent disposition reporting rate.
- In 23 cases an OTN was found on the court's system, of those, 20 had matching arrests and dispositions in the repository, an 87 percent disposition reporting rate.
- Of the 50 felony cases examined, 40 cases were reported to the repository, an 80 percent arrest reporting rate.

As a result of this second audit the AOC implemented their own internal audit process, training was conducted statewide on the proper procedures for moving information contained on the fingerprint OTN card through the system, and a data standards committee was formed to develop consensus concerning data issues.

A third audit was performed in 1993 that focused on 160 felony court cases from Salt Lake and Weber Counties that did not have an OTN. Previous audits have revealed that disposition information sent from the AOC to BCI never matches with the corresponding arrest data without the OTN. Therefore, it is critical to know why the OTN is not present in the court cases. The audit indicated the following reasons why the OTN was not present:

- For 40 of the cases (25%), the OTN was on a court document but had not been input into the Court's computer system.
- For 97 of the cases (61%), the individual was either booked into the jail or appeared in Court; however, no forms were found that had the OTN in the Court's files.
- For 3 of the cases (2%), the individual was served a summons and appeared in Court; however, no forms were found that had the OTN in the Court's files.
- For 2 of the cases (1%), the individual surrendered through the Salt Lake County Pre-Trail Services and later appeared in Court; however, no forms were found that had the OTN in the Court's files.
- For 9 of the cases (5%), the individual was in the Utah State Prison when the charges were filed. In these cases, the individual should have been brought to the Salt Lake County Jail to be booked. However, no forms were found that had the OTN in the Court's files.
- For 3 of the cases (2%), a warrant of arrest was issued but the case was discontinued before an individual was arrested. These cases would not require a record on BCI's system.

- For 6 of the cases (4%), a warrant of arrest was issued. The OTN appeared on the Court's system between the time the audit sample was selected and the time the test-work was performed. Those cases were handled properly.

The majority of these findings and their corresponding recommendations deal with procedures that are not followed. The audit was a catalyst for continued training that was conducted statewide with law enforcement, prosecutors and court personnel on specifically the OTN process.

The purpose of the 1995 audit was to determine OTN and Disposition reporting rates. These rates and factors contributing to them were then analyzed to determine trends that affect the accuracy and completeness of the Utah Computerized Criminal History (UCCH). Felony case filings from the Second Judicial District (representing 20% of the population of the state) were selected to be reviewed during this audit cycle. The auditors examined all felony cases (276) from January 1994 and January 1995 to see if there was a noticeable change in the OTN reporting rate (percent of cases reported from the AOC to BCI with an OTN). During 1994 CCJJ, BCI and the AOC conducted statewide training on the OTN process. Additionally, cases from the selected group that did contain an OTN were examined to determine the disposition reporting rate (percent of cases from the AOC that contain a disposition on BCI's computer files). This audit found that of the felony court cases reviewed nearly 90% have an OTN, and of the cases with an OTN, 92% have a disposition on record at BCI.

In the 1996, audit data from DOC was analyzed to determine if accurate data on those persons admitted to prison in 1995 is in the criminal history repository. The tentative findings (the audit has not yet been released) indicate that custodial data in the criminal history file at BCI is not updated in a timely and complete manner. One of the projects that is currently funded with DOC is developing an automated link to BCI for posting and updating custodial information. Another tentative finding is that persons already in custody are being charged with additional crimes but are not being re-booked. This data does not then show-up on the criminal history file. Training that BCI, the Courts and the Prosecutors are planning for next year will address this issue.

Based on these audits and our experience in the criminal history improvement process, Utah's goals remain the same; to produce a criminal justice information system that is accurate, complete, timely and secure. To accomplish this task, a plan for record improvement has been developed and approved by CCJJ. Part of this plan have been submitted to and approved by BJA under the 5% set-aside program. Included in the plan are the following goals and objectives:

Goals:
- Facilitate the accurate and timely identification of persons who are ineligible to purchase a firearm
- Expand and enhance Utah's participation in the Interstate Identification Index (III) and the National Instant Criminal Background Check System
- Improve the process to obtain court dispositions with the correct Offense Tracking Number
- Improve the level of criminal history record automation, accuracy, completeness and flagging
- Regularly obtain prosecutor declinations
- Speed identification of suspects
- Improve the disposition reporting rate of *old* criminal history data
- Produce a complete criminal justice data dictionary
- Include local law enforcement in the National Incident Based Reporting System (NIBRS)
- Meet the timetables for criminal history record completeness and participation in the FBI's III established for Utah by the U.S. Attorney General

Objectives:
- Research and update missing dispositions.
- Increase the quality and timeliness of fingerprint data through the use of education and livescan technology.
- Electronically transmit criminal history arrest information from local law enforcement agencies to the state repository.
- Routinely obtain prosecution declinations/use prosecutors to aid in disposition reporting.
- Improve the ability to track dispositions, current legal status and custodial history.
- Provide direct access to criminal history data by court personnel.
- Produce a comprehensive data dictionary to be used for all future criminal justice information system designers.
- Complete a comprehensive data quality audit.
- Create an integrated system for prosecutor case management.
- Develop the electronic exchange of information between the county booking agencies and the county prosecutor keyed on the OTN.
- Automate the case tracking system within the county prosecutor's office to routinely obtain prosecution declinations and aid in effective disposition reporting.
- Integrate live-scan technologies into the booking process to increase the timeliness and quality of fingerprints.
- Assist at least one law enforcement agency per year in converting to the NIBRS.
- Develop phonetic search capabilities for searching the Utah's Criminal History Repository and Statewide Warrants system.
- Accept responsibility for all III reportable arrest information from the FBI.

<div align="center">**Part III. NCHIP Effort**</div>

Utah's efforts to implement the goals and objectives previously listed will include many different components. Those agencies involved in developing Utah's Criminal History Record Improvement Plan were consulted in the development of these activities that are proposed for funding under NCHIP. These agencies include the Department of Public Safety, the Department of Corrections, the Administrative Office of the Courts and CCJJ (including the Utah Sentencing Commission and the Statistical Analysis Center). Following are descriptions of activities, *in order of priority*, that will assist us in our efforts to improve Utah's criminal history records. For each activity listed there are corresponding goals and objectives, the cost and agency responsible for implementing the activity, problem descriptions, implementation plans and an associated time line (these time lines assume that grant money will be available January 1, 1998). Additionally, the **Budget Narrative** portion of the application is included under Part III as most of the justification for each activity's costs are included in the implementation plan.

ACTIVITY 1

GOALS: Facilitate the accurate and timely identification of persons who are ineligible to purchase a firearm

Expand and enhance Utah's participation in the Interstate Identification Index (III) and the National Instant Criminal Background Check System

Meet the timetables for criminal history record completeness and participation in the FBI's III established for Utah by the U.S. Attorney General

OBJECTIVES: Improve the ability to track dispositions, current legal status and custodial history.

Electronically transmit criminal history arrest information from local law enforcement agencies to the state repository.

Accept responsibility for all III reportable arrest information from the FBI.

COST: $114,968 - Department of Public Safety

PROBLEM DESCRIPTION:

A goal of the NCHIP grant program is to improve access to protection orders through interface with the National Crime Information Center (NCIC). The State of Utah currently has a protective order database accessible by Utah local law enforcement agencies. The Utah protective order database, however, is unavailable to agencies outside of Utah because of connectivity issues. NCIC has a protective order database, but Utah does not currently have the system or programs to enter protective orders information into NCIC, either in batch mode or online. Also, Utah does not have inquiry access to the NCIC database.

Another goal of the NCHIP is to support the development of state sex offender registries and the interface with a national sex offender registry. The State of Utah is currently developing a sex offender registry that will be accessible to Utah local law enforcement agencies. This database, however, will be unavailable to agencies outside of Utah because there is no interface between the system containing the repository (AS400) and the IBM mainframe, on which the NCIC/NLETS messaging software runs.

The NCIC/NLETS messaging software used by the State of Utah resides on an IBM mainframe. The mainframe is controlled by the Division of Information and Technology Services (ITS), which operates with an internal service fund to pay for resources used. Each online transaction

as well as all batch jobs that run incur a charge. Special processing costs for the development of new systems has not been allocated to the budget of the Bureau of Criminal Identification.

IMPLEMENTATION PLAN:
Hire a programming consultant to develop processes and programs that will:
> 1) create an "initial load" file of existing protective order information to send to the NCIC database.
> 2) transfer daily files from the database repository to the IBM mainframe
> 3) in an online "batch" mode, send valid protective order information to the NCIC database from the file
> 4) create programs to allow online entries/modifications/cancels/clears of protective orders

Hire a programming consultant to develop processes and programs that will:
> 1) receive sex offender inquiries from NLETS
> 2) write programs to send inquiry messages and receive responses on the IBM mainframe (to/from the AS400 where the sex offender repository resides)
> 3) write programs to receive inquiry messages and send responses on the AS400
> 4) write programs to query the sex offender repository and formulate responses

Fund data processing costs for the development of these new processes.

The applications that enable communications from the IBM mainframe to the AS400 are complex, therefore DPS will need to fund training to allow their programmers to support the applications after the consultants leave. Due to the specialized nature of the training, out-of-state travel will be required.

Fund the commercial software which enables communications between the IBM and the AS400

BUDGET NARRATIVE:
The budget for this project will allow DPS to make programming changes to interface with the national databases to make available protective orders and the sex offender registry.

Programming Consultant 893 hrs @ $56 per hour	$ 50,008
Programming Consultant, AS400 416 hrs @ $60 per hour	$ 24,960
Data Processing costs	$ 23,000
Commercial software to enable communications	$ 7,000
Travel/Training for two programmers - 2 weeks each	$ 10,000
Total	**$114,968**

Allowable costs:
> Participation in III
> Database enhancements
> Training and participation in seminars
> Implementation of Child Protection and VAWA

TIME LINE:
Consultants will be hired by March, 1998. Commercial software will be purchased by June, 1998. Training will be completed by October, 1998. The programs will be written and implemented by December, 1998.

ACTIVITY 2
GOAL: Facilitate the accurate and timely identification of persons who are ineligible to purchase a firearm

Improve the process to obtain court dispositions with the correct Offense Tracking Number

Improve the level of criminal history record automation, accuracy, completeness and flagging

Regularly obtain prosecutor declinations

Improve the disposition reporting rate of *old* criminal history data

OBJECTIVES: Research and update missing dispositions

Increase the quality and timeliness of fingerprint data through the use of education and live-scan technology.

Routinely obtain prosecution declinations/use prosecutors to aid in disposition reporting.

Improve the ability to track dispositions, current legal status and custodial history.

COST: $88,738 - Department of Public Safety

PROBLEM DESCRIPTION:
The Utah Department of Public Safety has made significant progress in the disposition reporting rate of those crime categories defined as felonies, likely felonies, child abuse and domestic violence. These measurable results have proven the effectiveness of the research and training efforts conducted by DPS. However, there are still dispositions that are not matching arrest records and are therefore are held in the suspense file. These cases as well as other cases that do not immediately match in the automated system must be manually researched. Many times the researchers do not have the data to find the missing disposition without going to the court or local law enforcement agency that processed the case. BCI has also had a problem in the past hiring and maintaining good researchers. Turnover has been high, delaying the process and incurring re-hiring and re-training costs.

IMPLEMENTATION PLAN:
DPS will continue the in-house processing of the FBI sinc tape to insure the records held at the federal level for the state of Utah match those that are at the state repository.

DPS will continue processing the computer suspense file to ensure those incoming dispositions that are not able to electronically connect to an excising computer record, are manually researched, necessary corrections are made, and the disposition information is correctly displayed on the criminal history file.

Law enforcement and court locations have been tracked in regards to the collection of disposition information for more than two years. DPS now has valuable information in regards to the reasons for disposition information not electronically attaching. Researchers will go out to the court locations and work individually with agencies in regards to solving the problems that have been pinpointed by these computer reports.

DPS will continue statewide training for law enforcement, prosecutors and court personnel on all aspects of the flow of information in the criminal history process. Specific problem areas that occur statewide which inhibit the electronic connection of excising criminal history information and incoming disposition information will also be addressed. The training is presented in

conjunction with the AOC, CCJJ, and BCI thereby providing the participants with not only training information but also an opportunity to interact with the other agencies involved. This training has been held the past two years and has proven to be very successful. The continuation of this program will greatly assist with the on-going effort of improving criminal record information.

BUDGET NARRATIVE:
Because of the turnover rate among the existing researchers, DPS will hire full-time researchers with benefits to conduct the research at the local sites. They will need lap top computer equipment to use on location at the local court sites. The lap top computers requested will provide the mobility needed for working both in-house and at the local sites. Training will also be conducted for specific areas at these sites as well as a formal statewide training on issues that are relevant to the entire system.

Researchers - 2 full time @ $10.11 per hr	$ 42,220
Fringe benefits for researchers	$ 22,120
Transport XKE Laptop computer 2 @ $5,499	$ 10,998
Travel and training for statewide training	$ 3,700
Printed Materials for statewide training	$ 1,100
Travel/Training for two researchers	$ 7,800
Printed Materials for researchers/training	$ 800
Total	**$ 88,738**

Allowable costs:
      Participation in III
      Missing disposition backlog reduction
      Equipment upgrades
      Training, participation in seminars and meetings

TIME LINE:
It is anticipated that current funding for researchers will end by January 1998. The normal process of attrition will bring the number of FTEs conducting research to the level proposed under this grant. Therefore, this funding will allow DPS to continue to research at the 2 FTE level from January 1998 through December 1998. Statewide training will be conducted during March, April and May of 1998. The computers will be purchased in January 1998 for the researcher to use as they travel to court and law enforcement sites.

ACTIVITY 3
GOAL: Facilitate the accurate and timely identification of persons who are ineligible to purchase a firearm

Improve the process to obtain court dispositions with the correct Offense Tracking Number

Improve the level of criminal history record automation, accuracy, completeness and flagging

Speed identification of suspects

OBJECTIVES: Increase the quality and timeliness of fingerprint data through the use of education and live-scan technology.

Electronically transmit criminal history arrest information from local law enforcement agencies to the state repository.

Improve the ability to track dispositions, current legal status and custodial history.

Develop the electronic exchange of information between the county booking agencies and the county prosecutor keyed on the OTN.

Integrate livescan technologies into the booking process to increase the timeliness and quality of fingerprints.

COST: $220,000 - Local Law Enforcement

PROBLEM DESCRIPTION:
A major effort is underway to match dispositions to the arrest information and great progress has been made. DPS has involved law enforcement agencies, prosecutors and the courts during this process. One key to matching dispositions to arrest data is to have the offense tracking number and other critical demographic information from the arrest fingerprint card, flow through the system and be available at the time the disposition is received and posted at DPS/BCI. Utah has improved from 32% of the dispositions having the offense tracking number to over 82%. Efforts are continuing to make improvements to this process. More and more is being done to have the arrest information move electronically from the arresting agency to the prosecutor, to the courts and then finally to the criminal history repository at BCI.

Another key to successful matching is to ensure the arrest information in the criminal history repository is accurate. The best way to ensure accuracy is to eliminate multiple data entry of the same information while providing sufficient quality control. Utah is making an effort to allow and encourage law enforcement agencies to submit arrest information to the central repository electronically. This minimizes errors, allows resources to be freed up from data entry and applied to quality assurance. Currently, only Salt Lake County is using electronic arrest reporting. However, Salt Lake County sends the data to the repository in a separate data stream, not as part of the fingerprint that creates the arrest segment.

It is now critical for DPS to not only accept electronic fingerprint information for the AFIS system, but to also separate off the demographic information for automated submission to the criminal history system. Capturing the demographic information right from the electronic fingerprint card without manual re-entry will ensure the information in the criminal history system matches the data from the information that moves from law enforcement to prosecutors and courts. It narrows the window for error to the initial data entry at the arresting agency. DPS will therefore be able to spend less time in data entry and more time in quality assurance. This will assist DPS in keeping the data accurate and thus increasing the matching rate of dispositions to arrests.

IMPLEMENTATION PLAN:
Aside from the State's record improvement efforts, Utah has formed a Fingerprint Planning Focus Group to study the latest advancements in fingerprint technology and to update the State Fingerprint Plan. The Western Identification Network is in the process of upgrading their network and as part of this effort, new capabilities have been made available to the participating states that will make electronic arrest reporting feasible during 1998. These new capabilities use the NEC LS21 livescan to not only take and send fingerprints to the WIN AFIS for identification, but to also take the demographic and charging information from the local jail management system and send it to the state criminal history file.

CCJJ and DPS will now be able to bring electronic arrest reporting on-line to agencies representing over 90% of the Utah's population. This effort will involve local, Byrne, NCHIP and other federal funds. This request is for four agencies, Salt Lake County, Cache County, Washington County and West Valley City. These counties are the three largest counties in the state that do not have the new technology for electronic arrest reporting, and they represent over one million people. West Valley City is Utah's second largest city. Those agencies receiving

livescan units under this proposal will also be required to connect to and send data electronically to the prosecuting agency.

BUDGET NARRATIVE:
Through the WIN contract with NEC, participating agencies will be able to purchase livescan equipment at a quantity discount that will save the agencies $5,000 per system. Utah agencies will be purchasing a total of eight units in the next year, four under this grant.

NEC LS21 livescan and printer 4 @ $55,000 $220,000

Total $220,000

Allowable costs:
> Record Automation
> Equipment upgrades
> AFIS/livescan

TIME LINE:
The livescans will be purchased by May 1998. By December 31, 1998 the agencies will be electronically reporting demographic and charging data to BCI and the local prosecuting agency.

ACTIVITY 4

GOAL:	Improve the level of criminal history record automation, accuracy, completeness and flagging
	Improve the disposition reporting rate of *old* criminal history data
OBJECTIVE:	Research and update missing dispositions
	Improve the ability to track dispositions, current legal status and custodial history
COST:	$15,000 - Administrative Office of the Courts

PROBLEM DESCRIPTION:
The Administrative Office of the Courts is currently working to deploy a new court information system and all programming resources are being directed to that effort for the next 12 months. Understanding that criminal history is an important part of the criminal justice system, the AOC has identified the following criminal history issues as priorities, and needs assistance in implementing these activities while still focusing on the new court information system.

First, the criminal history file is not being updated when court disposition information is modified. Each month a data file is sent to BCI with all of the criminal dispositions. If that information changes and is flagged to go in the next months file, the information is sent again but not marked as a "changed" record. This creates a problem for updating the criminal history file, because the criminal history file shows the information is already there and sends the information out to the suspense file.

Second, reporting of Plea in Abeyance and Diversionary agreements is not currently being done at the time the agreement is made. This information should be reported to the repository at the time of the agreement and then changed when the agreement is completed.

Third, BCI is receiving multiple requests from federal and state agencies for information regarding domestic violence and child abuse offenses. The court is currently not collecting the information in this format.   There are no specific statutes for assault against a woman, rather it is cited as simple assault. The criminal filing screen will be modified to add attributes for domestic violence and child abuse. Also, the file layout will need to be modified to accommodate this

new information. BCI has requested that once the file layout is modified for this information and to handle information changes, they would like to update their file with the domestic violence information.

Fourth, DPS will be moving the data for the criminal history, statewide warrant and protective order systems to a new box and operating system. At that time, the data field lengths are being modified to comply with record standards that were set by Data Standards committee, coordinated by the Commission on Criminal and Juvenile Justice. This change will also impact the year 2000. The courts data files must be modified to match the Public Safety files.

IMPLEMENTATION PLAN:
Hire a contract programmer for 60 days to make the necessary modifications to the court information system. The programmer will be experienced in Power Builder and 4th Generation Language.

BUDGET NARRATIVE:
The AOC will use an existing state contract to hire a programming consultant to work on these issues for approximately 60 days.

Contract Programmer, 200hrs @ $75/hr	$15,000
Total	**$15,000**

Allowable costs:
    Database enhancements
    Improved disposition capture
    Record automation

TIME LINE:
    The programmer will begin work on January 1, 1998 and complete the programming by the end of February 1998. The AOC will then be able to send changes to BCI during their regular data transfers.

ACTIVITY 5

GOALS:	Improve the level of criminal history record automation, accuracy, completeness and flagging
	Improve the disposition reporting rate of *old* criminal history data
OBJECTIVES:	Research and update missing dispositions
	Improve the ability to track dispositions, current legal status and custodial history
	Electronically transmit criminal history arrest information from local law enforcement agencies to the state repository
COST:	$100,000 - Department of Corrections

PROBLEM DESCRIPTION:
A goal of the NCHIP is to enhance the quality, completeness and accessibility of the nation's criminal history record systems. The Utah Department of Corrections has an important role to play in improving the quality, accuracy, and completeness of Utah's criminal history repository.

Two major goals of Utah's criminal history improvement efforts have been obtaining dispositions for felony arrests and ensuring that criminal history records exist for all convicted

felons. The most serious felons the State of Utah must deal with are those who are sentenced to prison. Occasionally, offenders are sentenced to prison without the disposition being sent to the repository. In addition, offenders may be sentenced to prison without ever being arrested. These offenders enter prison without a criminal history record. The Department of Corrections is the agency which receives these offenders into prison and should be the source of dispositions for this population.

Another goal of the program is to improve the tracking of the custodial history and legal status of offenders. The Department of Corrections currently provides this information to the criminal history
repository in a paper format. Automating this process for offenders in prison would save a great deal of work for the repository staff and improve the accuracy of the information. The Department of Corrections has an old, out-dated offender tracking data base which cannot provide automated disposition and custodial information to the criminal history repository.

Corrections is currently in the process of updating and rewriting the entire data base. As part of this on-going and long-term project, DOC proposes automating the collection of disposition information on prison admissions and of custodial history information for prison inmates. This information could then be transferred to the repository in an electronic format. In addition, the project will attempt to assist with the cleanup of old missing data on prison admissions.

IMPLEMENTATION PLAN:
Corrections is currently contracting with a data base development consulting firm, INFORMIX, to develop its new data base. The implementation plan for this project would involve increasing Corrections' contract with INFORMIX to automate the collection and transfer of prison admission and release data. The following pieces of information would be collected and transferred to the criminal history repository:
1. Date of arrest
2. Arrest agency
3. Charge
4. Disposition
5. Date of disposition
6. Date of admission to prison
7. Date of release from prison

For offenders who arrive at the prison without a criminal history record, the system will initiate the fingerprinting process and lead to the creation of an State Identification Number (SID) for the offender. Consultants will be used to design and program the data base to store this information. They will also design data collection screens to be used by Corrections' staff to enter the information into the data base. Finally, they will work with the Utah Department of Public Safety to design a system to transfer the information to the criminal history repository. The project will also use Corrections' existing data base to update missing information on prison admissions and dispositions.

BUDGET NARRATIVE:
The budget for this project will provide funding to expand Corrections' contract with the INFORMIX consultants to provide design and programming services.

Design consultant 100 hours @ $115 per hour	$11,500
Programming consultant 800 hours @ $91 per hour	$72,800
Data conversion consultant 291 hours @ $54 per hour	$15,700
Total	**$100,000**

TIME LINE:
DOC will contract with INFORMIX in January 1998, and work will be completed by December

31, 1998.

Part IV. Relationship to Byrne 5% Set Aside

The goals and objectives listed in Part II - Identification of Need were determined to be the desired results of any efforts made toward improving Utah's criminal history information system, regardless of funding sources. Following are summaries of activities that will take place utilizing 1997 Byrne 5% set aside funds and state funds. The expenditure of 1997 Byrne funds was outlined in a plan submitted to Bureau of Justice Assistance in conjunction with the 1997 Byrne formula grant application. These activities in conjunction with those proposed in Part III under the NCHIP grant will combine to achieve many of the common goals and objectives of Utah's Criminal History Record Improvement Plan.

GOAL: Speed identification of suspects

OBJECTIVE: Increase the quality and timeliness of fingerprint data through the use of education and technology.

COST: NCHIP and State Funds - Department of Public Safety
Since the late 1980s the Department of Public Safety has been engaged in the development of the Western Area Identification Network. This cooperative project has enabled Utah along with California, Idaho, Washington, Oregon, Montana, and Nevada to purchase an Automated Fingerprint Identification System (AFIS). With the use of this technology, Utah has greatly improved its ability to identify and track criminals.

The first characteristic of a useful AFIS system is the ability of Law Enforcement to use this technology to identify suspects or solve crime. These identifications rest with the quality of the prints. Only when the prints are of high quality can we expect latent searches to yield suspects and the 10-print searches to provide real identification information.

The second characteristic of a useful AFIS system is the speed with which the identifications can be made. Early identification aids laws enforcement, stops early release of identified felons, and provides critical information to the enforcement agencies as suspects pass through the criminal justice system.

IMPLEMENTATION PLAN:
Continue fingerprint education to provide local law enforcement agencies with the training required to accurately complete the 10-print cards and the importance of timely submission of these cards to the repository. Training will also be available on fingerprinting techniques to increase the quality of the fingerprint database.

GOAL: Include state and local law enforcement in the National Incident Based Reporting System (NIBRS)

                               Speed identification of suspects
OBJECTIVE: Provide direct access to criminal history data by court and field law enforcement personnel.

                               Assist at least one law enforcement agency per year in converting to the NIBRS.

                               Electronically transmit criminal history arrest information from local law enforcement agencies to the state repository.

COST: $202,660 - Department of Public Safety, Local Law Enforcement

Although summary data on criminal events will provide the necessary information for uniform crime reporting purposes, it does not capture and make available much of the valuable incident based information that is generated. The FBI has adopted NIBRS as the standard and is encouraging state and local law enforcement to do the same. A previous grant from the Department of Justice has assisted 56 Utah agencies to receive the software and training to utilize NIBRS. Currently 23 agencies are submitting data, however, the largest agencies within the state have yet to begin reporting in this new format.

IMPLEMENTATION PLAN:
Local law enforcement agencies will continue to update their information systems to NIBRS compliant systems.   Also, computer servers and laptops will be purchased for state and local law enforcement agencies to utilize Cellular Digital Packet Data technology. By implementing NIBRS systems with CDPD technology and mobile computers, officers are able to more efficiently gather and update information, and have faster access to local, state and national criminal justice databases.

GOAL:	Regularly obtain prosecutor declinations
OBJECTIVE:	Routinely obtain prosecution declinations/use prosecutors to aid in disposition reporting**.**
COST:	State Funds - Utah Prosecution Council

In Utah, the prosecutions system has been one of locally elected county officials.   Not surprisingly this has meant that the policy and procedures vary considerably between each county. Implementation of a standardized method of information collection and dissemination is extremely difficult in this situation.   Often the requirements of the state agencies have been perceived by the counties as unnecessary. In addition, the Bureau of Criminal Identification has lacked sufficient resources to evaluate and include these officials in the criminal history process.

Courts in Utah are also diverse. In Salt Lake County alone there are many circuit and justice court judges. This has made the current process of sending the Offense Tracking Forms and the OTN directly from jails to the correct court nearly impossible. Loss of the OTN Form makes the eventual match of the arrest and disposition an overwhelming task.

IMPLEMENTATION PLAN:
Increase the role of prosecution in the criminal history process by changing the flow of criminal history forms. With a new system, the booking agencies will send the OTN forms from the jail to each county prosecutor. When prosecution receives this form it will: 1) Attach the OTN form directly to the information and forward it to the appropriate court with the arrest charges; or 2) the prosecutor will send the BCI a copy of the form with new charges and then forwards a copy of the amended form with the attached "information" to court; or 3) use the form to send BCI a declination. This procedure must be modified at the county level to meet local prosecutors needs and can only be accomplished through a statewide education program to help prosecution understand their new responsibilities.

GOAL:	Improve the process to obtain court dispositions with the correct Offense Tracking Number
OBJECTIVE:	Improve the ability to track dispositions, current legal status and custodial history.
COST:	$30,000 - Department of Corrections

A goal of the Byrne grant program is to enhance the quality, completeness and accessibility of

the nation's criminal history record systems. The Utah Department of Corrections has an important role to play in improving the quality, accuracy, and completeness of Utah's criminal history records. Corrections is the source of information about offender custody and parole and probation supervision, especially information about time served in prison or under supervision.

Utah Department of Corrections has an old, out-dated offender tracking data base which is he source of the state's information on offender custody and probation and parole supervision. This data base is cumbersome and transfer of custody information from Corrections to the criminal history repository is now done with paper reports and manual data entry. The old data base cannot support electronic transfer of information.

Corrections is currently in the process of updating and rewriting the entire data base. As part of this on-going and long-term project, Corrections is working with the Utah State Board of Pardons and Parole to capture data about offender prison sentences, time served in prison, and Board decisions.

In Utah, the Board of Pardons and Parole has the authority to set time served in prison, within sentence ranges, and determine when sentences will expire and when parole and prison jurisdiction will terminate. This information is vital to the Utah criminal justice system. The proposed project will develop a data base to track all information relating to offender sentences, time served in prison, parole decisions, and parole violation returns to prison. In addition, the project will assist all parts of the criminal justice system in tracking offender sentence expiration dates.

IMPLEMENTATION PLAN:
Corrections is currently contracting with a data base development consulting firm, INFORMIX, to develop its new data base. The implementation plan for this project would involve working, through contract, with INFORMIX to automate the collection and transfer of sentencing and parole information.

Consultants would be used to design and program the data base to store this information. They would also design data collection screens to be used by Corrections' and Board of Pardons and Parole staff. Data to be collected would include:
     Prison sentence
     Sentence start date
     Commitment date
     Parole date
     Termination date
     Sentence expiration date
     Parole hearing date and decision
     Credit for time served before sentencing
     Time tolled for absconding from parole supervision

GOAL: Improve the process to obtain court dispositions with the correct Offense Tracking Number

OBJECTIVE: Provide direct access to criminal history data by court personnel.

COST: State funds - Administrative Office of the Courts, CCJJ
The current court system does not provide access to the criminal history file for judges or court clerks. Often the data is transferred from BCI and loaded into the criminal history file before problems with data quality are found. Lack of interaction between the court system and the criminal history file produces omissions and errors in both files. Currently, local justice courts are not connected to the State Court's computer system nor have access to the State's Criminal

Justice databases.

IMPLEMENTATION PLAN:
Integrate the existing criminal history file with the new court system. This can be accomplished through the purchase of a communications gateway from courts new system to the state mainframe computer which houses the Criminal History File. Also, a plan for providing Wide Area Network (WAN) access to local Justice Courts is being implemented. This will allow Justice Courts to access and update criminal justice databases.

GOAL:	Improve the process to obtain court dispositions with the correct Offense Tracking Number
OBJECTIVE:	Complete a comprehensive data quality audit.
COST:	State funds, NCHIP - Commission on Criminal and Juvenile Justice

The completed audits have been valuable to the operation of the criminal history upgrade *process.* Through the use of these audits, problems have been defined, and improvements have been made to the Criminal History File.

IMPLEMENTATION PLAN:
The audit for 1995 contained a sample size significantly larger than previous audits, 276 cases compared to 50 cases. The 1996 audit will follow-up on recommendations from 1995 and will examine Department of Corrections data as the start point. The information will then be traced back to the repository, courts, prosecutors and law enforcement to verify the data concerning imprisoned felons is accurate and the established process and procedures are followed.

GOAL:	Produce a complete criminal justice data dictionary
OBJECTIVE:	Produce a comprehensive data dictionary to be used for all future criminal justice information system designers.
COST:	$23,800 - Utah Prosecution Council

Lack of common data standards for identification, offense codes or common procedures for handling forms continues to cause confusion and data losses throughout the criminal justice system. A unified data dictionary with common codes, data structures and tabled data will aid in data collection and the improve data quality.

Lack of coherent definition is especially pronounced in the court system. The State of Utah does not have a comprehensive list of offenses which courts and prosecutors can use. This inhibits the electronic filing of reports. More importantly, the quality of data in the Criminal History File is compromised by redundant and misleading coding.

IMPLEMENTATION PLAN:
Responsibility for definitions and maintenance of data tables will assigned to appropriate agencies. The data dictionary will continue to be improved and expanded. The Offense Table will also be rewritten and standardized. To maintain and improve the Offense Table along the lines of the forgoing objectives, the following activities need to be accomplished:

Substantive revision of the current bail schedule: Updating, evaluating and editing, when necessary, all items in the current bail schedule to assure that they are legally sound.
   •   Defining all items clearly: each item should be fully and clearly defined, listing all its elements in the statutory language where

possible. Some thought should also be given to what scope the Offense Table should have, and then the Offense Table should be reviewed to assure that it covers the needed scope.

- Use *Folio Previews* to provide text search and retrieval to the new court system. Use new graphical user interface tools for the new Offense Table. The Offense Table could then be incorporated into the existing Utah Law on Disc, and hypertext links could be installed between the Offense Table and the textual resources of Utah Law on Disc.

GOAL: Improve the disposition reporting rate *old* Criminal History data

OBJECTIVE: Research and update missing dispositions.

Increase the quality and timeliness of fingerprint data through the use of education and live-scan technology.

COST: $80,000 - Department of Public Safety

The success of the 1995 research efforts have increase the disposition reporting rate of 1989 through 1994 felonies to over 90 percent. Additional resources are being allocated to this function, as well as for other non-felony categories of offenses.

IMPLEMENTATION PLAN:

Although 1995 NCHIP funds have most recently been used to maintain the researchers, Byrne funds will be used to continue paying contract workers to research missing felony dispositions for the years 1989-1996 as well as for cases involving child abuse, domestic violence, crimes against women and probable felonies. Funds will also be utilized to implement process improvements that result from research conducted. This will include training personnel involved with criminal justice data and programming updates to the repository.

COUNTY AUTOMATION PLAN

The electronic county model maximizes the electronic transfer of information both within and between organizations, as data follows the defendant through the criminal justice system. This model is planned for metropolitan Utah which consists of Utah, Salt Lake, Davis and Weber Counties and includes over 78 percent of Utah's population. In some agencies, implementation of this plan requires an entire systems re-write. In others, only the "interface" piece is missing to complete the transfer between agencies.

GOAL: Improve the process to obtain court dispositions with the correct Offense Tracking Number

OBJECTIVE: The electronic exchange of information between the county booking agencies and the county prosecutor keyed on the offense tracking number.

The inability to electronically transfer data or share information between the sheriff offices and the county attorneys often means that prosecutors must re-enter data. This can lead to missing declinations, and poor data quality. Most of the identification and arrest information collected by the county sheriff is needed by the county attorney. By supporting the development of data systems that allow data to be transferred from the sheriff's office directly to the prosecutor we encourage the accurate reporting of data, decrease the likelihood of missing declinations, and increase the likelihood that the Offense Tracking Number will be available to court personnel at the time of filing.

IMPLEMENTATION PLAN:

Encourage counties to develop automated systems that transfer or share data between the county prosecutor and the county sheriff.

GOAL: Improve the process to obtain court dispositions with the correct Offense Tracking Number

OBJECTIVE: Electronically transmit criminal history arrest information from local law enforcement agencies to the state repository.

COST: $70,000 - Salt Lake County
Each county in Metropolitan Utah has an automated data entry system used by the booking officials. Their procedures include the entry of the original arrest information into their booking system and the production of the traditional 10 print cards. After adding inked fingerprints, these cards are sent for positive identification and re-entry to the state repository. Duplicate entry of arrest data by the Bureau of Criminal Identification and the local agencies introduces delays and produces errors. Salt Lake County produces approximately 50 percent of the felony arrests in the State of Utah.   The ability to electronically transmit this arrest data which includes NAME, OFFENSE, TRACKING NUMBER, OFFENSE CODES AND DATE OF BIRTH to the repository will; decrease the delay in reporting this information; decrease the reliance on original data entry by the Bureau of Criminal Identification; and will promote increases in data quality by increasing verification and decreasing data entry.

IMPLEMENTATION PLAN:
Assist Salt Lake County with upgrading their current booking, identification and fingerprinting equipment with current generation technology that will allow the county to immediately identify suspects and arrested persons, gather demographic information for electronic transfer to prosecutors and the repository, and send upgraded quality fingerprints to the repository.

GOAL: Regularly obtain prosecutors declinations
OBJECTIVE: Routinely obtain prosecution declinations/use prosecutors to aid in disposition reporting.

                                         Create an integrated system for prosecutor case management.

Criminal history data is often lost early in the process because booking officials send the Offense Tracking Form to the wrong court. In addition, the criminal history processes lack reliable data because prosecutors cannot change or add charges to those on the Offense Tracking Form. Prosecution in Utah is mainly a county function. This has hampered attempts to incorporate prosecution in the criminal history process and create uniform procedures. This objective is aimed at decreasing system fragmentation and improving our ability to capture declinations. In Utah, the prosecutions system has been one of locally elected county officials. Not surprisingly this has meant that the policy and procedures vary considerably between each county. Implementation of a standardized method of information collection and dissemination is extremely difficult in this situation. Often the requirements of the state agencies have been perceived by the counties as unnecessary. In addition, the Bureau of Criminal Identification has lacked sufficient resources to evaluate and include these officials in the criminal history process. Courts in Utah are also diverse, in Salt Lake County alone there are many Circuit and Justice Court Judges. This has made our current process of sending the Offense Tracking Forms directly from jails to the correct court nearly impossible. Loss of the OTN form makes the eventual match of the arrest and disposition a overwhelming manual task.

IMPLEMENTATION PLAN:
We will enhance the role of prosecution in the criminal history process by automating their case management system. With a new system, the booking agencies will send the arrest data (OTN forms) directly from the jail to each county prosecutor. When the prosecutor receives the data

electronically it will ensure that every arrest is reported properly and will ensure that the OTN number will be available to the court at the time of filing, or the prosecutor can transmit declinations directly to the repository.

GOAL: Speed identification of suspects

OBJECTIVE: Integrate livescan technologies into the booking process to increase the timeliness and quality of fingerprints.

Since the late-eighties the Department of Public Safety has been engaged in the development of the Western Area Identification Network. This nine state cooperative project has enable Utah along with California, Idaho, Washington, Oregon, Montana, and Nevada to purchase an Automated Fingerprint Identification System. The primary aim the AFIS is to identify suspects or solve crime. These identifications rest with the quality of the prints. Only when the prints are of high quality can the latent searches yield suspects and the 10-print searches provide real identification information. Secondly, the AFIS can be used to speed the identification process. Early identification aids laws enforcement, stops early release of identified felons, and provides critical information to the enforcement agencies as suspects pass through the criminal justice system.

Currently, fingerprint verified identification of the arrested can require three weeks to be completed by the Utah Department of Public Safety, Bureau of Criminal Identification. The livescan project would provide local law enforcement agencies with the capability of using new technology during the fingerprinting and identification process. It will also greatly enhance the quality of fingerprints in the AFIS, and speed the identification of suspects. The following problems have been identified with the current manual fingerprinting and booking process:

The traditional inked and rolled printing process is very slow. Each suspect's fingerprints are rolled three times. One card is generated for the Federal Bureau of Investigation, the second card is provided to the Department of Public Safety, Bureau of Identification and the third card is for the booking agency. In Salt Lake County, for example, it takes approximately 15 minutes to roll one set of fingerprints. Usually the quality of the fingerprints decreases as each print is taken. The first and best card is usually retained by the booking agency. The second card is sent to BCI and used for identification and input into AFIS. The last and poorest quality card is sent to the Federal Bureau of Identification. Hence cards are often returned to the booking agencies because of poor fingerprint quality and our identification databases are populated by second or third quality prints. While livescan technology increases the speed of the identification it does not provide the technology do the identification. Early, positive identification of those arrested decreases the chances of releasing dangerous suspects and greatly increases the likelihood of capturing declinations or dispositions.

IMPLEMENTATION PLAN:
Provide counties the technology to integrate livescan technology into their current booking system. *Electronically transmit the fingerprint cards to the Bureau of Criminal Identification.* Provide counties with and EWS terminal to complete the fingerprint identification process within the county. This would allow prosecutors and courts to use the identification/ finger print data and speed the entry of this arrest data into the repository.